

**U.S. District Court  
U.S. District of Minnesota (DMN)  
CIVIL DOCKET FOR CASE #: 0:18-mc-00076-WMW-KMM**

In Re Banc of California Securities Litigation **DO NOT DOCKET. CASE HAS BEEN TRANSFERRED OUT.** Date Filed: 09/12/2018  
Assigned to: Judge Wilhelmina M. Wright Date Terminated: 02/07/2019  
Referred to: Magistrate Judge Katherine M. Menendez Nature of Suit: 999 Miscellaneous civil case  
Cause: Civil Miscellaneous Case Jurisdiction: Federal Question

**Movant**

**Steven Sugarman**

represented by **Andrew R. Gray**  
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**Respondent**

**Castalian Partners Value Fund LP**

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**Respondent**

**James Gibson**

represented by **Aaron G Thomas**  
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**Charles B Rogers**  
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DO NOT DOCKET. CASE HAS BEEN TRANSFERRED OUT."&gt;Email All Attorneys

DO NOT DOCKET. CASE HAS BEEN TRANSFERRED OUT."&gt;Email All Attorneys and Additional Recipients

| Date Filed | #   | Docket Text   |
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| 09/12/2018 | I 1 | Motion to Compel Compliance with Subpoenas (filing fee \$ 47, receipt number AMNDC-6365593). (Attachments: # <a href="#">1</a> Civil Cover Sheet) (Tunheim, Samuel) (Entered: 09/12/2018)   |
| 09/12/2018 | I 2 | NOTICE OF HEARING ON MOTION <a href="#">1</a> Motion to Compel Compliance with Subpoenas: at a Date and time to be determined. (Tunheim, Samuel) Modified on 9/12/2018 (lmb). (Entered: 09/12/2018)   |
| 09/12/2018 | I 3 | Declaration of Andrew Gray in Support of <a href="#">1</a> Motion to Compel Compliance with Subpoenas filed by Steven A Sugarman. (Attachments: # <a href="#">1</a> Exhibit(s) A and B)(Tunheim, Samuel) Modified on 9/12/2018 (lmb). (Entered: 09/12/2018)   |
| 09/12/2018 | I 4 | MEET and CONFER STATEMENT re <a href="#">1</a> Initiating Petition/Motion (Miscellaneous Case) filed by Steven A Sugarman.(Tunheim, Samuel) (Entered: 09/12/2018)   |
| 09/12/2018 | I 5 | CERTIFICATE OF SERVICE by Steven A Sugarman re <a href="#">4</a> Meet and Confer Statement, <a href="#">3</a> Declaration in Support, <a href="#">1</a> Motion to Compel Compliance with Subpoenas, <a href="#">2</a> Notice of Hearing on Motion. (Tunheim, Samuel) Modified on 9/12/2018 (lmb). (Entered: 09/12/2018)   |
| 09/12/2018 | I 6 | TEXT ONLY ENTRY: CLERK'S NOTICE OF INITIAL CASE ASSIGNMENT. Case assigned to Judge Wilhelmina M. Wright per Civil (Miscellaneous) list, referred to Magistrate Judge Katherine M. Menendez. Please use case number 18-mc-76 (WMW/KMM). (lmb) (Entered: 09/12/2018)  |
| 09/13/2018 | I 7 | NOTICE of Appearance by Charles B Rogers on behalf of Castalian Partners Value Fund LP, James Gibson. (Rogers, Charles) (Entered: 09/13/2018)   |
| 09/13/2018 | I 8 | NOTICE of Appearance by Aaron G Thomas on behalf of Castalian Partners Value Fund LP, James Gibson. (Thomas, Aaron) (Entered: 09/13/2018)   |
| 09/14/2018 | I 9 | AMENDED NOTICE of Hearing on Motion: <a href="#">1</a> Motion to Compel Compliance with Subpoenas (filing fee \$ 47, receipt number AMNDC-6365593) : Motion Hearing set for 10/22/2018 at 03:30 PM in Courtroom 8E (MPLS) before Magistrate Judge Katherine M. Menendez. (Tunheim, Samuel) (Entered: 09/14/2018)  |
| 09/14/2018 | 10  | (Text-Only) BRIEFING SCHEDULE ORDER: Steven Sugarman's memorandum of law in support of his motion to compel, along with any supporting affidavits, declarations, and exhibits, shall be filed no later than 9/28/2018. The Respondents, Castalian Partners Value Fund LP and James Gibson, shall file any response to Mr. Sugarman's motion, including a memorandum of law and any supporting affidavits, declarations, and exhibits, no later than 10/12/2018. Ordered by Magistrate Judge Katherine M. Menendez on 9/14/2018. (KAT) (Entered: 09/14/2018) |
| 09/18/2018 | 11  | TEXT ONLY ENTRY: Notice re: Non-Admitted Attorney<br><br>We have received documents listing <b>Manuel A. Abascal; Brian Glennon; Kristen Tuey; Michele D. Johnson; Andrew R. Gray</b> as counsel of record. If he or she wishes to be listed as an attorney of record in this case, he or she must be admitted to the bar of the U.S. District Court of Minnesota in accordance with <u>Local Rule 83.5 (a), (b) and (c)</u> or temporarily admitted pro hac vice in accordance with <u>Local Rule 83.5 (d) or (e)</u> .                                    |

For more admissions information and forms, please see the Attorney Forms Section of the courts website at [http://www.mnd.uscourts.gov/FORMS/court\\_forms.shtml#attorneyforms](http://www.mnd.uscourts.gov/FORMS/court_forms.shtml#attorneyforms). (AKL) (Entered: 09/18/2018)

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| 09/19/2018 | <u>12</u> | MOTION for Admission Pro Hac Vice for Attorney Andrew R. Gray. Filing fee \$ 100, receipt number AMNDC-6378021 filed by Steven Sugarman. (Tunheim, Samuel) (Entered: 09/19/2018)  |
| 09/19/2018 | <u>13</u> | TEXT ONLY ENTRY: ORDER granting <u>12</u> Motion for Admission Pro Hac Vice of Attorney Andrew R. Gray for Steven Sugarman. Approved by Magistrate Judge Katherine M. Menendez on 9/19/2018. (JGK) (Entered: 09/19/2018)  |
| 09/28/2018 | <u>14</u> | SEALED MEMORANDUM in Support re <u>1</u> Motion to Compel Compliance with Subpoenas (filing fee \$ 47, receipt number AMNDC-6365593) filed by Steven A. Sugarman. (Attachments: # <u>1</u> LR7.1/LR72.2 Word Count Compliance Certificate)(Tunheim, Samuel) (Entered: 09/28/2018)                                 |
| 09/28/2018 | <u>15</u> | Redacted Document for <u>14</u> Sealed Memorandum in Support of Motion to Compel Production filed by Steven Sugarman.(Tunheim, Samuel) (Entered: 09/28/2018)  |
| 09/28/2018 | <u>16</u> | Declaration of Andrew R. Gray in Support of <u>1</u> Motion to Compel Compliance with Subpoenas (filing fee \$ 47, receipt number AMNDC-6365593) filed by Steven Sugarman. (Attachments: # <u>1</u> Exhibit(s) 1-9, # <u>2</u> Exhibit(s) 12-14)(Tunheim, Samuel) (Entered: 09/28/2018)                           |
| 09/28/2018 | <u>17</u> | SEALED EXHIBIT 10 re <u>16</u> Declaration in Support, filed by Steven A. Sugarman.(Tunheim, Samuel) (Entered: 09/28/2018)  |
| 09/28/2018 | <u>18</u> | Redacted Document for <u>17</u> Sealed Exhibit 10 to <i>Declaration of Andrew R. Gray</i> filed by Steven Sugarman.(Tunheim, Samuel) (Entered: 09/28/2018)  |
| 09/28/2018 | <u>19</u> | SEALED EXHIBIT 11 re <u>16</u> Declaration in Support, filed by Steven A. Sugarman.(Tunheim, Samuel) (Entered: 09/28/2018)  |
| 09/28/2018 | <u>20</u> | Redacted Document for <u>19</u> Sealed Exhibit 11 to <i>the Declaration of Andrew R. Gray</i> filed by Steven Sugarman.(Tunheim, Samuel) (Entered: 09/28/2018)  |
| 09/28/2018 | <u>21</u> | SEALED Declaration of Torben Voetmann in Support of <u>1</u> Motion to Compel Compliance with Subpoenas (filing fee \$ 47, receipt number AMNDC-6365593) filed by Steven A. Sugarman.(Tunheim, Samuel) (Entered: 09/28/2018)  |
| 09/28/2018 | <u>22</u> | Redacted Document for <u>21</u> Sealed Declaration of Torben Voetmann filed by Steven Sugarman.(Tunheim, Samuel) (Entered: 09/28/2018)  |
| 09/28/2018 | <u>23</u> | PROPOSED ORDER TO JUDGE re <u>1</u> Motion to Compel Compliance with Subpoenas (filing fee \$ 47, receipt number AMNDC-6365593) filed by Steven Sugarman.(Tunheim, Samuel) (Entered: 09/28/2018)  |
| 10/12/2018 | <u>24</u> | MEMORANDUM in Opposition re <u>1</u> Motion to Compel Compliance with Subpoenas (filing fee \$ 47, receipt number AMNDC-6365593) filed by Castalian Partners Value Fund LP, James Gibson. (Attachments: # <u>1</u> LR7.1/LR72.2 Word Count Compliance Certificate)(Thomas, Aaron) (Entered: 10/12/2018)           |
| 10/12/2018 | <u>25</u> | DECLARATION of James Gibson in Opposition to <u>1</u> Motion to Compel Compliance with Subpoenas (filing fee \$ 47, receipt number AMNDC-6365593) filed by Castalian Partners Value Fund LP, James Gibson. (Attachments: # <u>1</u> Exhibit(s) 1, # <u>2</u> Exhibit(s) 2)(Thomas, Aaron) (Entered: 10/12/2018)   |
| 10/12/2018 | <u>26</u> | DECLARATION of Aaron G. Thomas in Opposition to <u>1</u> Motion to Compel Compliance with Subpoenas (filing fee \$ 47, receipt number AMNDC-6365593) filed by Castalian Partners Value Fund LP, James Gibson. (Attachments: # <u>1</u> Exhibit(s) A, # <u>2</u> Exhibit(s) B, # <u>3</u> Exhibit(s) C, # <u>4</u> |

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|            |           | Exhibit(s) D, # <u>5</u> Exhibit(s) E)(Thomas, Aaron) (Entered: 10/12/2018)   |
| 10/12/2018 | <u>27</u> | PROPOSED ORDER TO JUDGE re Denying Motion to Compel Production <u>24</u> Memorandum in Opposition to Motion,. (Thomas, Aaron) (Entered: 10/12/2018)   |
| 10/22/2018 | <u>28</u> | NOTICE of Appearance by Jordan Weber on behalf of Castalian Partners Value Fund LP, James Gibson. (Weber, Jordan) (Entered: 10/22/2018)   |
| 10/22/2018 | <u>29</u> | Minute Entry for proceedings held before Magistrate Judge Katherine M. Menendez: Motion Hearing held on 10/22/2018 re <u>1</u> Motion to Compel Compliance with Subpoenas (filing fee \$ 47, receipt number AMNDC-6365593) filed by Steven Sugarman. (LCC) (Entered: 10/22/2018)  |
| 10/26/2018 | <u>30</u> | REQUEST for an <b>Expedited 7-Day Transcript</b> of a Digital Audio Recording. (Tunheim, Samuel) (Entered: 10/26/2018)  |
| 11/01/2018 | <u>32</u> | REQUEST for an <b>Expedited 7-Day Transcript</b> of a Digital Audio Recording. (Jayasuriya, Ruvin) (Entered: 11/01/2018)  |
| 11/02/2018 | <u>33</u> | REQUEST for an <b>Expedited 14-Day Transcript</b> of a Digital Audio Recording. (JGK) (Entered: 11/02/2018)   |
| 11/26/2018 | <u>34</u> | DOCUMENT FILED IN ERROR–WILL REFILE. NOTICE of Filing of Official Transcript. This filing has 1 transcript(s) associated with it. (RAR) Modified text on 11/26/2018 (lmb). (Entered: 11/26/2018)  |
| 11/26/2018 | <u>35</u> | TRANSCRIPT of Motions Hearing held on 10/22/2018 before Magistrate Judge Katherine M. Menendez. (50 pages). Transcriber: Renee Rogge. For a copy of the transcript, please file a Transcript Request under <i>Other Filings/Other Documents</i> .<br><br>For information on redaction procedures, please review <u>Local Rule 5.5</u> . Redaction Request due 12/17/2018. Redacted Transcript Deadline set for 12/27/2018. Release of Transcript Restriction set for 2/25/2019. (RAR) (Entered: 11/26/2018) |
| 11/26/2018 | <u>36</u> | NOTICE of Filing of Official Transcript. This filing has 1 transcript(s) associated with it. (RAR) (Entered: 11/26/2018)  |
| 12/13/2018 | <u>37</u> | REPORT AND RECOMMENDATION re <u>1</u> Motion to Compel Compliance with Subpoenas (filing fee \$ 47, receipt number AMNDC-6365593) filed by Steven Sugarman. Signed by Magistrate Judge Katherine M. Menendez on 12/13/2018. (LCC) (Entered: 12/13/2018)   |
| 02/07/2019 | <u>38</u> | IT IS HEREBY ORDERED that the December 13, 2018 R&R, <u>37</u> , is ADOPTED and this case is TRANSFERRED to the United States District Court for the Central District of California. (Written Opinion) Signed by Judge Wilhelmina M. Wright on 2/7/2019. (RJE) (Entered: 02/07/2019)  |